**Utah Department of Transportation**

# PROGRAM GUIDANCE

## Federal Transit Authority (FTA) Grants
## UDOT FY 2009

**Section 5310: Transportation for Elderly Persons and Persons with Disabilities**

**Section 5311: Small Urban/Rural Public Transportation**

**Section 5316: Job Access and Reverse Commute (JARC)**

**Section 5317: New Freedom**

**Public Transit Team**

**Systems Planning & Programming**

**Civil Rights (Title VI)**

**The Utah Department of Transportation (UDOT) is committed to compliance with Title VI of the Civil Rights Act of 1964 assuring that no person shall on the grounds of race, color, national origin, gender, age, or disability be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any UDOT and/or Federal Transit Authority (FTA)  service, program, or activity.**

**Americans with Disability Act (ADA) Information**

**Materials can be provided in alternative formats for persons with disabilities by contacting Public Transit Team at 801-965-4360.**

**Revised November 2008**

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# Chapter 1 – Introduction

The Utah Department of Transportation's Public Transit Team (PTT) is please to announce the availability of funds to support local public transit programs in Utah.

**TABLE 1: ESTIMATED AVAILABILITY OF FUNDS**

| Location | AOG / MPO | FTA Grant Program | | | |
| --- | --- | --- | --- | --- | --- |
| | | Section 5310 | Section 5311 | Section 5316 | Section 5317 |
| Statewide Availability | | $72,780 | – | – | – |
| | | | | | |
| Large Urbanized Areas | | – | – | | |
| Ogden-Layton Urbanized (Davis and Weber counties) | WFRC MPO | | | $467,362 | $242,493 |
| Provo-Orem Urbanized (Utah County) | MAG MPO | | | $585,777 | $115,785 |
| Salt Lake City Urbanized (Salt Lake County) | WFRC MPO | | | $829,469 | $642,334 |
| | | | | | |
| Small Urbanized Areas | | – | – | | |
| Logan (portions of Cache County) | Cache MPO | | | $135,880 | $46,189 |
| St. George (portions of Washington County) | Dixie MPO | | | $251,697 | $56,870 |
| | | | | | |
| Nonurbanized Areas | | – | $3,364,595 | | |
| Box Elder, Cache (portions), and Rich counties | Bear River AOG | | | $51,270 | $29,216 |
| Beaver, Garfield, Iron, Kane, and Washington (portions) counties | Five County AOG | | | $105,043 | $39,109 |
| Summit, Utah (portions), and Wasatch counties | MAG AOG | | | $67,260 | $23,291 |
| Juab, Millard, Piute, Sanpete, Sevier, and Wayne counties | Six County AOG | | | $57,660 | $28,551 |
| Carbon, Emery, Grand, and San Juan counties | Southeastern Utah ALG | | | $7,633 | $20,883 |
| Daggett, Duchesne, and Uintah counties | Uintah Basin AOG | | | $51,187 | $17,725 |
| Tooele and Morgan counties | WFRC MPO | | | -$55,931 | $25,389 |
| Total Estimated Statewide Funding | | $72,780 | $3,364,595 | $2,554,306 | $1,287,836 |

This program guidance provides assistance to agencies interested in applying for FTA grants. This document covers the following topics:

- An overview of UDOT's transit programs (Chapter 2)
- Guidance on the Letter of Intent and application process (Chapters 3 & 4)
- Information about new coordination planning requirements (Chapter 5)
- Information about UDOT's grant making process and requirements for award recipients (Chapter 6)

The Program Guidance manual can be downloaded at www.udot.utah.gov/go/loi.

This year marks the first year of our annual application cycle. Funding will now be made available on an annual basis for each program. This represents a change from previous years when funding cycles for each grant varied from year to year.

Additionally, we are launching a new online application. The online application enables UDOT to automate the data entry portion of the application process, facilitating a streamlined evaluation process. In doing this, we have combined three of the FTA programs (Sections 5310, 5316 and 5317) into one application. The 5311 program will remain separate.  The two applications reflect several updates to previous applications, including a simplified format and new questions that improve the ability to equitably evaluate the merits of applicants' projects.  For applicants without access to the internet, or are otherwise unable to complete the online application, a paper application is available by contacting the Public Transit Team.

We recognize that with this new format come new questions and comments.  Please feel free to call us with any questions or suggestions as you fill out your application.

Contact Information:

Leone Gibson: (801) 964-4508
lgibson@utah.gov

# CHAPTER 2 – PROGRAM OVERVIEW

The following chapter provides a brief summary of FTA's grant programs administered by the PTT. For a more extensive review of individual programs, or for more information on a particular grant, please see the Appendix.

**Eligible Agencies**

The table below identifies the funding that is available to eligible agencies. For questions regarding your agency, refer to "Legal Status of Agency for Eligibility", found in Chapter 3.

**TABLE 2: ELIGIBLE AGENCIES**

| Agency Type | Section 5310 | Section 5311 | Section 5316 | Section 5317 |
|---|:---:|:---:|:---:|:---:|
| Non Profit | ● | ● | ● | ● |
| State or Local Government Authority | ● | ● | ● | ● |
| Indian Tribe | ● | ● | ● | ● |
| Operator of Public Transit Service, including Private Operators | | ● | ● | ● |

**Eligible Projects**

FTA grant assistance can be used for three types of projects: capital, operating, and project administration. Review the following categories and determine which most closely match your project needs.

1. Capital Projects: This type of project is available under Sections 5310, 5311, 5316, and 5317. FTA grants can provide funding for capital projects which include vehicles and non-vehicle equipment and facilities. Examples of eligible capital projects include, but are not limited to:

- Purchase of new or used buses, vans, and other passenger service vehicles
- Refurbishment of existing vehicles

- Replacement parts for passenger service vehicles
- Equipment (communications, computer, etc) needed for new technologies, through innovative and improved products, into public transportation that enhances operations, mobility and access
- Other equipment such as bicycle racks and fareboxes
- Bus shelters and accessible features for sidewalks and facilities
- Maintenance and security equipment (such as bus lifts and specialized diagnostic tools)
- Mobility management
- Contracted transportation services, including the capital and operating costs associated with the contracted service (Section 5310)

2. Operating Projects: Operating projects refer to the costs directly related to system operations. This type of project is available under Section 5311, 5316, and 5317. Under Section 5310, contracted transportation services, including the capital and operating costs associated with the contracted service, are eligible capital expenses. The project funds may be used for expenses such as labor, supplies, fuel, etc. Examples of eligible operating grants include, but are not limited to:

- Operating assistance for rural public transportation services
- Operating assistance for paratransit/special needs transportation services
- Feeder bus service for the intercity network

3. Project Administration: In addition to capital and operating assistance, project administration costs can be covered by FTA grants. This is only an eligible project for Section 5311. Eligible project administrative costs may include, but are not limited to:

- Administrative salaries
- Marketing expenses
- Insurance premiums
- Office supplies
- Facilities and equipment rental

**Project Match Requirements**

Local matching funds are required in all categories of assistance and vary by type of project. Matching funds can come from state or local government appropriations, tax revenues, or private donations. Federal grants can also be used for matching funds as long as the money does not come from U.S. Department of Transportation sources.

Capital and Project Administration projects require a 20 percent local match. For example, if a capital purchase is $100,000, a local match of $20,000 will be required.

Operating projects require a 50 percent local match. For example, if the operating costs are $100,000, a local match of $50,000 will be required.

Applicants may count non-cash contributions to the project such as donations, volunteered services, or in-kind contributions only if the agency formally documents the value of each non-cash share, and if this value represents a cost that would otherwise be eligible under the project.  The net project cost must include the value of any in-kind contributions included in net project cost to the extent it is used as local match. Contact the PTT if you intend to use in-kind contributions toward your project.

# CHAPTER 3 – LETTER OF INTENT FORM

The Letter of Intent (LOI) form is the method by which the Public Transit Team confirms the eligibility of applicants who apply for FTA grants. Because FTA funds are available only to eligible organizations, the LOI form helps identify which agencies can apply for funds. The LOI form is also a management tool to help the PTT prepare for the workload associated with the application process.

**Letter of Intent Availability**

The LOI form is available beginning November 17, 2008. The final deadline for agencies to submit an LOI form is January 11, 2009. Whether you submit your LOI form on paper or use the online version, the document is due no later than 5:00 PM on that day.

**Obtaining a Letter of Intent Form**

The LOI form is available on UDOT's website (www.udot.utah.gov/go/loi). The LOI form must be submitted through UDOT's online electronic application. However, if applicants are unable to complete an electronic LOI form, they may contact Leone Gibson at (801) 964-4508 to make alternative arrangements.

**Number of Letter of Intent Applications Allowed**

Each applicant should submit only one LOI that adequately describes the extent of the work proposed. If multiple projects are proposed, include each project in the project description portion of the LOI form.

**Availability of Funds**

The Public Transit Team has provided estimates of the funding amounts that will be available under each grant for this current year (see funding amounts shown on the LOI form). These amounts will not be finalized until later in the grant process when FTA apportionments have been published.

**Instructions for Completing the Letter of Intent form**

The LOI form is divided into four parts.

**I. Contact Information**

> The first series of questions confirms your contact and agency information if you are a previous applicant, or requests that information if you are a new applicant.

**II. Legal Status of Agency for Eligibility**

> Each of the three options is defined:

- State or Local Government Authority: (A) a political subdivision of a State; (B) an authority of at least one State or political subdivision of a State; (C) an Indian tribe, both Federally-recognized and other Indian tribes; and (D) a public corporation, board, or commission established under the laws of a State.

  *Requirements specific to Section 5310 applicants:*

  *In order to qualify for 5310 grants, local governments need to certify that no non-profit corporations are readily available in your area to provide human service transportation for elderly persons and persons with disabilities. This certification will occur in the post-award contract negotiation period.*

  *Some local governments have been approved by UDOT as the coordinating agency for human service transportation activities in their planning and service area. If you have questions about whether your agency is the coordinating agency in your area, please call Leone Gibson at 801-964-4508.*

- Private Non-Profit: a corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C 501(c) which is exempt from taxation under 26 U.S.C. 501(a) or one which has been determined under State law to be non-profit and for which the designated State agency has received documentation certifying the status of the non-profit organization.
- Operators of public transportation services, including private operators of public transportation services.

## III. Which Regions do you operate in?

Choose multiple regions if your project(s) will occur in multiple regions.

Please respond whether your project is part of the coordinated transportation plan for your region. You are allowed to proceed and submit the LOI form regardless of your response to this question. However, if your project is not part of the coordinated plan, or if you are not aware of coordination requirements, you must contact your regional planner to learn more about coordination.

## IV. Project Description

Please limit the description of your project to 250 words. Be brief and concise as you describe your project(s).

# CHAPTER 4 - APPLICATION

**Application Availability**

Applications for UDOT FY 2009 are available beginning November 17, 2008. The final deadline for agencies to submit an application is February 26, 2009. Whether you submit your application on paper or use the online application, the document is due no later than 5:00 PM, February 26th, 2009.

**Obtaining an Application**

Only agencies that have filled out a LOI form are given permission to make application for FTA program grants. Once an LOI form is received, reviewed, and found to be complete, the PTT sends detailed instructions to each applicant on how to access the application. The application must be submitted through UDOT's online electronic application. If applicants are unable to complete an electronic application, they may contact Leone Gibson (801-964-4508) to make alternative arrangements to complete a paper version of the application.

**Number of Applications Allowed**

The PTT will determine the number of applications each agency will submit. This will be communicated in the correspondence that follows the submittal of the LOI form. Applications with multiple unrelated projects will likely be instructed to complete an individual application for each project. Agencies that have multiple projects that are related and dependent on each other will likely be instructed to complete one application that describes the full program of projects and their interrelatedness.

**Instructions for Completing the Application**

The following instructions will guide applicants as they complete the combined 5310/5316/5317 application and the 5311 application. While the applications are very similar, there are some notable differences that this guide will point out.

Applicants should be aware that completing the application will require a significant amount of time in planning and preparation. The electronic application allows users to leave the application and return multiple times without losing information that has already been submitted. We recommend printing a paper version of the application, found in the appendix, to assist applicants in organizing and preparing their responses.

Please use this guide as your first source of instruction in filling out the application. Questions that arise that are not addressed in this document, nor by the "help links" within the application itself, may be addressed to Leone Gibson (801-964-4508).

Throughout the application there are questions with two asterisks (**). This signifies that this question will factor into the prioritization of your project. To read more about how your project will be evaluated and prioritized, please read Chapter 6.

*I. Agency Information*

**Agency:**

Please fill out the requested information. If you are filling out the electronic application, the information inserted into the fields comes from the LOI form that was completed during the pre-application process. Please check the accuracy of the information and make corrections as necessary. If you have questions regarding the definition of any of these fields, refer to Chapter 3 where the LOI form and pre-application process are addressed.

**Legal Status of Agency:**

Please fill out the requested information. If you are filling out the electronic application, the information inserted into the fields comes from the LOI form that was completed during the pre-application process. Please check the accuracy of the information and make corrections as necessary. If you have questions regarding the definition of any of these fields, refer to Chapter 3 where the LOI form and pre-application process are addressed.

Federal ID Number: If your agency is non-profit, your ID number is your non-profit entity number. If you are a private business, it is your federal tax ID number. If you have questions about locating this number, refer to www.commerce.utah.gov, then click on "Business Entity Search" under the "Online Services" drop-down list, or call 801-530-4849.

**Coordinated Planning:**

Please indicate whether your project is part of the coordinated plan. If your project will operate across multiple regions, you must indicate if your project is part of the coordinated plan for each region.

*Attention 5310/5316/5317 applicants—You will not be able to progress beyond this portion of the application without verifying that your project is part of the coordinated plan for your region. Coordination requirements for public transit-human services transportation is addressed in Chapter 5. This application will later request more specific information regarding your participation in the coordination process and how your project meets coordination strategies. If you are not part of the coordinated plan, or not sure if you are, you must contact your regional planner to determine if your project is part of the coordinated plan. A list of regional planners and their contact information is provided in Chapter 5.*

*II. Project Description*

**Project Description:**

Assign a name to your project. In future correspondence we will refer to your project by this name.

Please limit the description of your project to 250 words. Be brief and concise as you describe your project(s). If you are completing the online application, a brief description of your project from the LOI form has been provided. Revise the description as necessary.

**Service Area:**

Clearly identify the geographic area where your organization will be providing service and/or the location of each project described in your application. Please include cities, towns, counties, etc.

If your project provides some form of direct transportation service, include the hours and days of operation. If you are completing the paper application, you may attach additional documentation displaying the information.

**Impact:**

Describe the impacts to the community that you expect from this project.

*Attention 5310/5316/5317 applicants—Please include how the project will promote access to transit for transportation-disadvantaged individuals in the community. Explain the processes, methods, and measures your organization used to estimate those benefits.*

*Attention 5311 applicants—Provide a justification that demonstrates how your project is beneficial to the community. Justification for existing routes might include a local needs/gap analysis, number of passenger trips, or other existing ridership data. Justification for proposed new routes might include a summary of needs study, business plan, or anticipated ridership data.*

**Measures:**

This section only applies to 5310/5316/5317 applicants.

A trip is defined as "the one-way operation of a passenger vehicle between two points". For instance, a trip is generated if a senior center vehicle transports one senior from her home to the senior center. Ten trips are generated if ten seniors are transported from the senior center to a bus terminal. If your project involves transporting people, please estimate the total annual number of passenger one-way trips that will be provided, broken down into the categories listed on the application form. If you have further questions, please contact Mary Guy-Sell at 801-965-4872

If your project increases the number of jobs that can be accessed by low-income job seekers, provide an estimate on the number of jobs that will be accessible by your project. Please consult relevant demographic data from the Division of Workforce Services, the Governor's Office of Planning and Budget, and/or relevant Census data from the U.S. Census Bureau. If you have further questions, please contact Mary Guy-Sell at 801-965-4872

*III. Coordination* For more information on coordination and FTA's requirements regarding this topic, please see Chapter 5.

**Needs and Strategies:**

This section only applies to 5310/5316/5317 applicants.

In order to identify needs and strategies, you will have to review your specific region's coordinated transportation plan (you can find it online at www.udot.utah.gov/go/loi, or request a copy from your regional planner). Each coordinated plan is divided into sections that define transportation needs and strategies. You will need to identify which specific need and/or strategy your project addresses and document the page number on which it is referenced in the plan.

Provide justification on how your project complies with the need(s)/strategy(ies) identified in the coordinated plan. Please keep description to less than 250 words.

**Coordination Involvement:**

This section only applies to 5311 applicants.

Provide information on how your agency has participated in the coordination process, if any.

**Partners/Stakeholders:**

Provide information on how your agency has coordinated with other agencies in creating this project. Provide information on coordinating partners and/or stakeholders whom you have consulted in preparing your project.

*IV. Implementation*

**Implementation:**

Good project management should consider important project milestones and the estimated date in reaching that milestone. A milestone is defined as a point in time that marks the completion of an important event or phase in the development of your project.

**Management:**

What experience does your agency have with transportation services? Please keep responses limited to 250 words.

*Attention 5310/5316/5317 applicants—"Targeted population" refers to the elderly, persons with disabilities, and those with low income.*

*V. Vehicle Inventory*

**Current Vehicle Inventory:**

Please provide the requested information. For applicants using the online application, verify that the current records are correct and make changes as necessary.

If you need to remove a vehicle from the list of agency vehicles, provide the disposal information here including the date of disposal, the method (sold, transferred to other program, etc), the amount of money received for the vehicle, and whether the disposal monies were reinvested into the transportation program.

### *V. Budget*

**Project Type:**

Indicate the types of funding you intend to apply for. For a complete description of the different types of funding, refer to Appendices A-D.

If you are completing the online application, your response will determine which questions you will complete later in the application.

**Vehicle Capital Budget Items:**

If your project involves a capital expense, provide the information here. This page allows you to specify vehicles purchases and non-vehicle equipment and mobility management expenses. Provide the requested information. Prices should be estimated at higher than the current market price as to allow for inflation.

*Attention 5310/5316/5317 applicants—While you have the ability to purchase any vehicle fit for public transit, UDOT offers a streamlined procurement process in purchasing two standard vehicles: a 22' bus (which does not require a commercial driver's license to operate), and a 25' bus (which does require a commercial driver's license to operate). If you choose a vehicle outside of these two options, your agency must take a greater role in researching and procuring a vehicle. You must work closely with UDOT in undertaking this process and demonstrate proficiency and knowledge in vehicle procurement.*

*Attention 5311 applicants—Most applicants are interested in one of the six vehicle types listed. If you intend to procure a vehicle type not listed, insert the vehicle information in the space provided.*

**Information on Replacing/Expanding/New Vehicles:**

This information only needs to be provided if you have indicated that you are expanding, replacing, or starting new vehicle service. Please provide more description concerning the service.

**Local Match for Capital Budget:**

Only complete this page if your project is a capital project. Sum up the total cost of capital purchases, both vehicle and non-vehicle. If you are completing the online application, this is done automatically. Determine 80 percent of the total cost that will be covered by the federal

grant. List the sources that will cover the 20 percent local share. For questions regarding what qualifies as a local source, refer to Chapter 2.

**Estimated Operating Expenses:**

You must provide estimated operating expenses if one of the following situations describes your application:

- Your project consists of applying for an operating grant
- You are applying to purchase a vehicle. This information is used to determine whether your program has the resources to operate the vehicle that you are requesting.

Estimate operating expenses that are directly attributable and incurred solely to provide the services identified in the project. While this application is only for FY 2009, please provide data for three additional years.

Salary expense should include the salary and fringe benefits of drivers and dispatchers. Administrative expenses include the administrative costs associated with the implementation of an eligible project, i.e. the administrative costs connected with the implementation of a voucher, travel training, or volunteer driver programs.

*Attention 5310/5316/5317 applicants—Operating grants are only available if your project serves persons with disabilities (beyond ADA requirements) and/or programs providing access to jobs for low-income individuals (JARC and New Freedom). If so, 50 percent of your project's total operating expenses are eligible to be covered by a federal grant.*

**Local Match for Operating Expenses:**

Only provide this information if you are requesting an operating grant.

Local sources are funding sources other than passenger fares and ride donations that will be used to support the project and meet any match requirements. Do not include any revenue sources that will be retained by your organization for transportation reserve accounts or revenues that are used for capital purchases.

**Project Administrative Expenses:**

This section only applies to 5311 applicants.

Only provide this information if you are requesting an project administration grant.  If your project involves project administrative expenses, provide that information here.  While this application is only for FY 2009, please provide data for three additional years.

**Local Match for Project Administration:**

This section only applies to 5311 applicants.

Only provide this information if you are requesting an project administration grant. Local revenues must be greater or equal to 20 percent of the total capital budget. Provide the revenue sources of the 20 percent local match. For questions regarding what qualifies as a local source, refer to Chapter 2.

**Budget Summary:**

Fill in the budget summary. For applicants using the online application, the budget summary is automatically filled out.

*VI. Preventive Maintenance*

If you are purchasing a vehicle, UDOT requires recipients of FTA-funded vehicles to implement a maintenance program. Agencies must choose to adopt UDOT's existing recommended preventive maintenance program or propose an alternative program approved by UDOT. Skip this question if you are not purchasing a vehicle.

*VII. Assurances*

Civil Rights: Please fill in the appropriate information

FTA Certifications and Assurances: Review the linked FTA Certs and Assurances. If your organization cannot comply with these requirements, your organization will not be awarded funds.

*VIII. Verify and Submit*

Your application must be signed by someone authorized to sign contracts on behalf of your organization. If you are completing the online application, the authorized representative must enter his/her Personal Identification Number (PIN) to electronically authorize the signature.

Applications that are not signed or that are signed by unauthorized individuals will be rejected by UDOT and will not be considered for grant funding

For applicants submitting a paper application, mail or hand-deliver (no faxes please) the completed application to the following address by 5:00 PM, February 26th:

Leone Gibson
Utah Department of Transportation
4501 South 2700 West, 3rd floor
SLC, UT 84114-3600

# CHAPTER 5 – COORDINATION

**What Is Coordination?**

Coordination of transportation services is a process in which two or more organizations interact to jointly accomplish their transportation objectives. Examples of coordination include:

- Pooling or consolidating resources including insurance, scheduling, dispatch, driver training, grant writing, administration, maintenance, and/or operations
- Enhanced communication between agencies about the needs of their respective customers, potential duplication and or overlap in each agency's respective programs, and means for reducing duplications
- Information sharing about available resources and opportunities to coordinate

Coordination can lower the costs of providing services by addressing inefficiencies in the current use of transportation resources. Most communities apply these cost savings to increase the number of people served, thus increasing overall service effectiveness. The combination of increased efficiency and increased effectiveness can create lower unit costs, such as costs per trip, per mile, or per hour. Benefits commonly observed from coordinated transportation services include:

- Increased ridership
- Extended service hours
- Service to new areas or new communities
- Improved service
- Lowered trip costs for travelers and service providers

**How Does Coordination Affect My Organization?**

On August 10, 2005, President George W. Bush signed into law the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). This act provides funding, through the FTA, for the programs discussed in this guide.

Among other things, SAFETEA-LU requires recipients of FTA funds to create a locally developed public transportation human service coordination plan. The purpose of the coordination plan is to identify the transportation needs of seniors, people with disabilities, and people with low incomes and to identify and prioritize strategies to address those needs. The Public Transit Team works with local communities to facilitate the development of local coordination plans.  You can read your region's coordination plan by visiting UDOT's website (hyperlink).

All applicants who wish to qualify for funding from Section 5310, 5316, and 5317 programs must be derived from the local coordination plan. In other words, your project must support, encourage and assist in achieving the transportation strategies defined in your local coordination plan.

The FTA also expects 5311 applicants to be involved in development of the coordinated plan. The application has a question that asks you to provide a description of how your project will address the needs and/or strategies contained within your local coordinated plan.

Additionally, all applicants are encouraged to contact and work with transportation providers and local stakeholders in their service area while formulating their project. Generally, a successfully coordinated project can only happen with the cooperation of multiple agencies and organizations. The application also has a question that asks you to document your collaboration and partnering with other agencies.

If you are unfamiliar with the coordinated plan or the process by which it was created, we encourage you to contact your local regional planner. They will be able to assist you by providing specific information about your local coordination plan and how your project relates with the transportation needs and strategies of your region. Additionally, they can inform you of upcoming coordination activities in your region and how to get involved.

**Regional Planner Contact Information**

Listed below are the planners for each region.

**TABLE 3: REGIONAL PLANNER CONTACT INFORMATION**

| AGENCY | AREA SERVED | COORDINATED PLANNING CONTACT | |
|---|---|---|---|
| Bear River Association of Governments | Box Elder, Cache, and Rich Counties | Roger Jones | 435.752.7242 rogerj@brag.utah.gov |
| Cache Metropolitan Planning Organization (CMPO) | Hyde Park, Hyrum, Logan, Millville, North Logan, Providence, River Heights, Smithfield, Wellsville, and portions of Nibley and Cache County | Jeff Gilbert | 435.716.7154 Jeff.gilbert@cachecounty.org |
| Dixie Metropolitan Planning Organization (Dixie MPO) | Ivins, St. George, Santa Clara, and Washington Cities, and unincorporated Washington County | Curt Hutchings | 435.673.3548 ext 119 chutchings@fcaog.state.ut.us |
| Five County Association of Governments (Five County AOG) | Beaver, Garfield, Iron, Kane, and Washington Counties | Curt Hutchings | 435.673.3548 ext 119 chutchings@fcaog.state.ut.us |
| Mountainland Association of Governments (MAG) | Utah, Wasatch, and Summit Counties | Chad Eccles | 801.229.3824 ceccles@mountainland.org |

| | | | |
|---|---|---|---|
| Six County Association of Governments (Six County) | Juab, Millard, Piute, Sanpete, Sevier, and Wayne Counties | Emery Polelonema | 435.893.0713 epolelon@sixaog.state.ut.us |
| Southeastern Utah Association of Local Governments (SEUALG) | Carbon, Emery, Grand, and San Juan Counties | Mike Bryant | 435.637.5444 ext 414 mbryant@seualg.dst.ut.us |
| Uintah Basin Association of Governments (UBAG) | Daggett, Duchesne, and Uintah Counties | Brett Coulam | 435.722.5203 brettc@ubaog.org |
| Wasatch Front Regional Council (WFRC) | Davis, Morgan, Salt Lake, Tooele, and Weber Counties | Doug Hattery | 801.363.4230 ext 109 dhattery@wfrc.org |
| Utah Department of Transportation (UDOT) | State of Utah | Mary Guy-Sell | 801.965.4872 mguy-sell@utah.gov |

**Utah Regions**

**MAP 1: REGIONAL MAP**
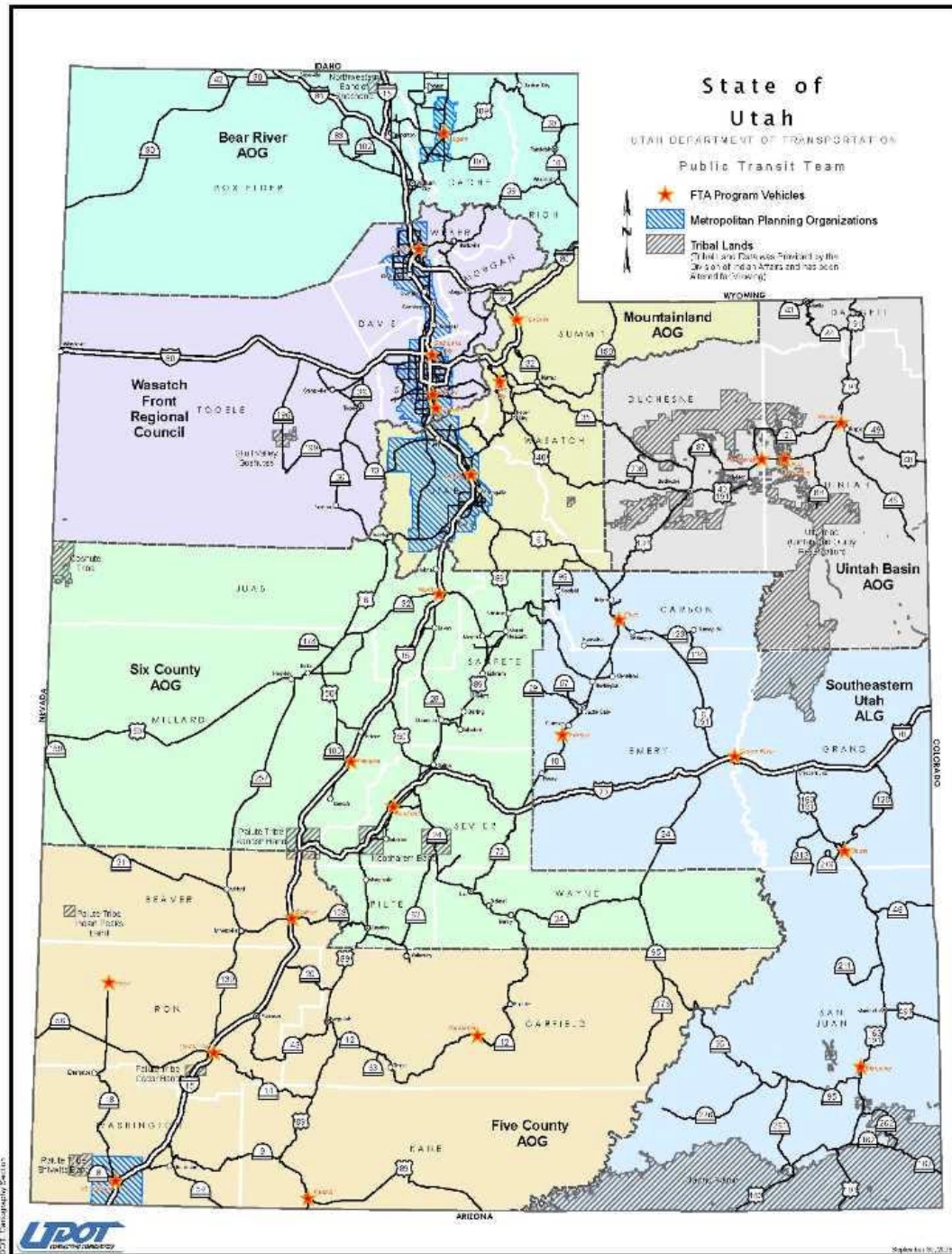
# CHAPTER 6 – AWARDS, FUNDING & NEXT STEPS

**FTA Grant Process—Projected Timeline**

| | |
|---|---|
| October 30, 2008 | Public notice announcing grants |
| November 13, 2008 | Letter of Intent form available at UDOT |
| January 11, 2008 | Last day to submit Letter of Intent form to Public Transit Team |
| January-February 2009 | UDOT holds regional technical assistance workshops |
| February 26, 2009 | Applications due to UDOT |
| March 2-March 26, 2009 | UDOT reviews submitted applications to ensure completeness |
| March 30-May 28, 2009 | Regional evaluation and ranking |
| June 1-June 18, 2009 | UDOT evaluation and ranking |
| June 22-June 25, 2009 | Selection and Evaluation Committee recommends grant awards |
| July-August 2009 | FTA approves grant awards |
| September 2009 | Finalize contracts |
| October-December 2009 | Specify and order vehicles  (if applicable) |
| April 2010 | Vehicle Delivery (if applicable) |

**Competitive Evaluation Process**

Submitting an application does not guarantee that your project will be funded. If requests for funding exceed the available money, a competitive selection process will be used to rank and prioritize projects. Those projects with the greatest value, as determined by the evaluation criteria, will receive the highest ranking and will thus receive funding.

The FTA requires that the PTT conduct the selective competition in an open and transparent manner that results in a fair and equitable distribution of funds. This means that each agency will be provided equal access to, and equal treatment by, the competitive selection process.

Each application will be evaluated by three different entities as shown by the diagram:
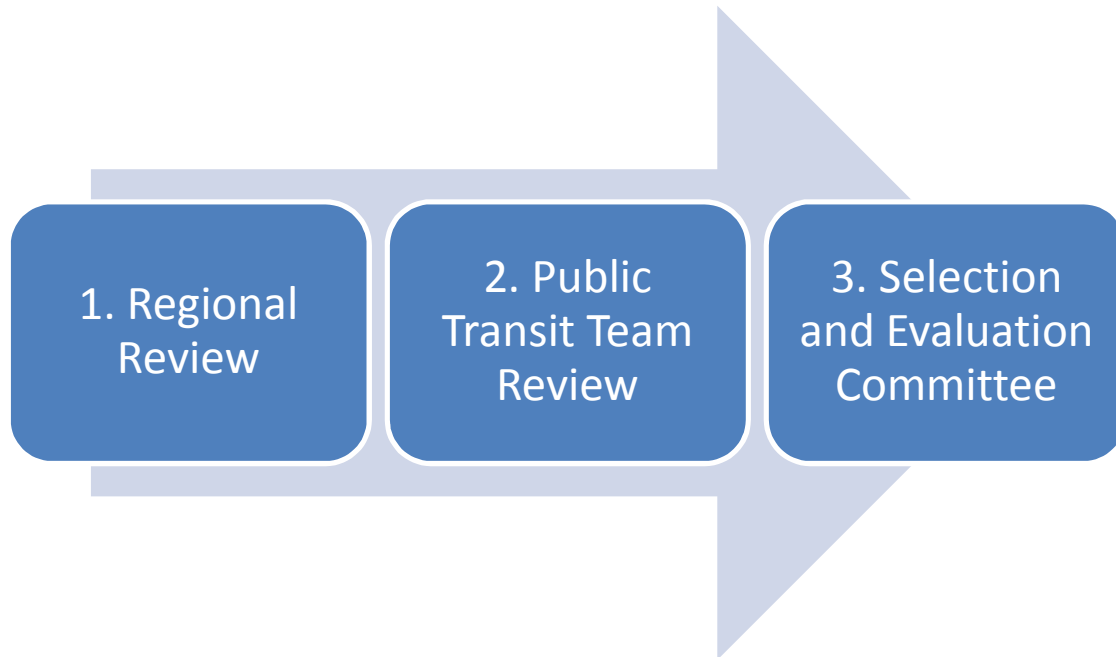
1. Regional review: After submitting your application, it will first be reviewed by the individual planning regions served by your project. Planning regions are responsible for reviewing and evaluating each project that will serve their regions.  Projects that serve multiple regions will be reviewed by each region served.

The review process and criteria used for review will be determined by each region (use the contact information in Chapter 5 to contact your regional planner to obtain a list of the criteria used). The region will rank all of the applications based on the degree to which the local evaluation criteria is met.  These rankings will then be forwarded to the Public Transit Team for further evaluation.

2. Once the PTT receives the application rankings from each region, the Team will then conduct its own evaluation and review based on the goals of the PTT and its purpose as a statewide facilitator of public transit accessibility.

The PTT has determined that the following criteria will be used in ranking the combined applications for the 5310/5316/5317 programs:

**TABLE 4: EVALUATION CRITERIA FOR COMBINED APPLICATION (SECTIONS 5310/5316/5317)**

| Criteria Number | Criteria | Description | Weight (Points) |
|---|---|---|---|
| 1 | Ranking provided by the regions | The scores provided by the regional planners will carry the most weight. | 25 |
| 2 | Coordination | The degree to which the proposed project fulfills the needs and strategies of the current coordination plan. | 25 |
| 3 | Statewide priorities: | The PTT will evaluate existing levels of public transportation services and funding needed to support them. Emphasis will be given to projects that address underserved public transportation needs identified in the current coordination plan. | 20 |
| 4 | Accessibility to transit | The degree to which the project promotes, enhances, and facilitates access to transportation services. What is the extent to which the project meets local needs? Does the project include the integration and coordination of services for individuals with disabilities, older adults, and individuals with lower incomes? How will these impacts be measured? | 15 |
| 5 | Managerial Capacity | How well does the application reflect an agency with the financial and managerial capability to manage the proposed project? Does the applicant have a feasible implementation plan? | 5 |
| 6 | Thoroughness of application | The team will evaluate each application based on its quality, thoroughness, completeness and attention given to the details of the project. | 5 |
| 7 | Compliance | A composite score based on compliance records for current UDOT transit grant recipients is prepared on an annual basis. Points for this category will be given proportionate to the compliance score for each current applicant. New applicants that do not have a compliance history will be awarded the full score. | 5 |

These weighted scores will be summed to produce a final score for each application. Applications will be ranked in descending order, with recommendations for funding given to those with the highest score.

The Team has determined that the following criteria will be used in ranking the 5311 applications:

**TABLE 5: EVALUATION CRITERIA FOR 5311 APPLICATION**

| Criteria Number | Criteria | Description | Weight (Points) |
|---|---|---|---|
| 1 | Regional and Statewide Priorities: | The PTT will evaluate the regional ranking (if applicable), the existing levels of public transportation services, and the funding needed to support them. | 30 |
| 2 | Community Need and Support | The degree to which the project promotes, enhances, and facilitates access to transportation services. The extent of commitment from local organizations and existing transportation providers to coordinate services. | 30 |
| 3 | Compliance | A composite score based on compliance records and federal laws (EEO, Title VI, DBE, Section 13(c) Section 504/ADA) for current UDOT transit grant recipients is prepared on an annual basis. Points for this category will be given proportionate to the compliance score for each current applicant.  New applicants that do not have a compliance history will be awarded all ten points. | 20 |
| 4 | Managerial Capacity | How well does the application reflect an agency with the financial and managerial capability to manage the proposed project? Does the applicant have a feasible implementation plan? | 10 |
| 5 | Thoroughness of application | The team will evaluate each application based on its thoroughness, completeness and attention given to the details of the project, particularly the documentation of projected revenues and expenses. | 10 |

These weighted scores will be summed to produce a final score for each application. Applications will be ranked in descending order, with recommendations for funding given to those with the highest score.

3. The recommendations from the PTT will be forwarded to the Selection and Evaluation Committee for their consideration. After reviewing the ranking provided by the PTT, and after receiving public comment, the Committee will either accept the recommendations without change, or propose changes in the ranking of applications.

**Award Notifications**

Within two weeks of the Selections and Evaluations Committee meeting, award letters will be sent to successful applicants and awarded projects will be posted on the UDOT Public Transit Team's website. Letters will also be sent to unsuccessful applicants during this timeframe.

**Post-Award Contract Negotiations and Requirements**

After being awarded a project, UDOT will arrange to negotiate contracts with each applicant. During the contract negotiation process successful applicants will have an opportunity to review state and federal requirements, sign the FTA certifications and assurances form, and discuss the project's schedule, scope and budget. This process may include any or all of the following:

- Developing a more defined scope of work
- Budget clarification
- Providing additional information to meet program requirements
- A requirement to hold a public hearing
- Developing a list of other service providers and their respective unions in their area

**Additional Requirements**

Additional requirements that you should be aware of and familiar with as an applicant for federal funding are listed below.

*Federal Labor Requirements*

Successful applicants receiving 5311, 5316, or 5317 will be required to submit information regarding other service providers in their area and any unions that cover the employees of those providers or their own employees. The information is required by FTA and needed for UDOT to secure the federal funds.

*Certifications and Assurances for Federal Funds*

As part of a federal grant process, successful applicants will be required to document their ability and willingness to comply with various federal regulations and implement their proposal if funding is awarded. To demonstrate willingness to comply, applicants must supply the appropriate federal certifications and assurances before the agreement is signed by UDOT. UDOT requires annual updates of Certification and Assurances from current grantees. New grantees will be required to submit certifications and assurances within 60 days of receiving a grant award letter and before the agreement is signed and dated by UDOT. Examples of federal certifications and assurances that may be required include:

- Authority of Applicant and its Representative
- Standard Assurances
- Intergovernmental Review Assurance
- Nondiscrimination Assurance
- Assurance of Nondiscrimination on the Basis of Disability
- U.S. Office of Management and Budget (OMB) Assurances
- Lobbying (applications for $100,000 or more)
- Procurement Compliance

- Private Providers of Public Transportation
- Public Hearing
- Acquisition of Rolling Stock (Capital only)
- Acquisition of Capital Assets by Lease (Capital Only)
- Bus Testing (Capital Only)
- Charter Services Agreement
- School Transportation Agreement
- Demand Responsible Services (Capital Only)
- Alcohol Misuse and Prohibited Drug Use
- Job Access and Reverse Commute Formula Grant Program
- New Freedom Program
- Letter for Acceptance of the FTA Section 5333(b) Special Warranty on your organization's letterhead (formerly Section 13c)

A link to the current list of FTA certifications and assurances is available here:

http://www.fta.dot.gov/documents/2009-Certs-Appendix_A.pdf